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ABSTRACT

This report contains workshop presentations by various State representatives on State education agency (SEA) use of management by objectives (MBO). The first presentation provides a conceptual "umbrella" of management and discusses six steps that are fundamental to management by objectives. The second presentation contains a concise description of the evolution and present state of SEA management in Nevada. State presentations by Oklahoma and Texas highlight other specific activities of SEA management. The Oklahoma presentation focuses on records and information management, that of Texas on management assessment activities. Also included in the report are (1) State-by-State lists of "next steps" regarding management by objectives, (2) a summary of the workshop evaluation, and (3) the roster of participants in the conference. (JF)

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MANAGEMENT - BY - OBJECTIVES

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Colorado Department of Education
Donald D. Woodington,
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REGIONAL INTERSTATE PROJECT PROGRAM

(An ESEA, Title V, Section 505, Project)

SEMINAR REPORT

Helena, Montana

July 6-8, 1971

Arthur R. Olson, Director

Guilbert C. Hentschke, Seminar Correspondent

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FOREWORD

A new level and a new spirit of professionalism are markedly on the rise today among State Education Agencies. They have long been devoted to professionalism in education; and now they are developing deep competence in professionalism in a number of areas that serve education. One of the most significant of these serving areas is management.

In the various papers in this volume, reporting on the Regional Interstate Project Workshop in Helena, Montana, entitled "Management by Objectives (Revisited)," I find a number of definitions and descriptions of management, and of objectives. The reader may find one definition more felicitous than another; the careful reader will be forcefully struck by the common notes among all the definitions.

The great common note is this: goal attention is focused on the behavior of the learner, while critical attention is directed to evaluation of the performance of the agency.

This is most heartening. Under the discipline of management by objective and its associated tools--goal statement, planning, administration, evaluation, measurement--we are drawn to put in clear words what we have so long believed in so deeply; that we exist to facilitate the desired behavioral changes in learners. Using the discipline, we describe those desired changes with precision and in depth. Going further, we develop measurements of performance with which to weigh the achievement against the objective. At all times we search our own performance, as a facilitator of the performance of the learner. Management can, of course, do a good job or a bad job; and in evaluation, we ask ourselves if change is required, and if so in what direction.

This question can be answered only if we have in the first instance stated our objectives clearly, and thus the circle completes itself.

It is also heartening to note in these papers the steady insistence on the growth of competence in local leadership. Again, this has long been a cherished belief among State Education Agencies; and again, under the new discipline, we are forced to see its centrality more clearly and to work toward it with plan and purpose.

Finally, it is most heartening to see the assurance with which participants in the Workshop evaluated the proceedings. The summary of the evaluation occupies only a few lines at the very end of the volume, yet it says a great deal. It acknowledges the presentations of the states as worthwhile (largely because they were concrete), while dismissing the sessions dealing "primarily with abstract management concepts" as not. This says a lot about the professionalism of the participants. They have moved beyond the need for elementary discussion; their interest now is in performance. This, I submit, is the heart of management by objectives. As State Education Agencies apply this new professionalism both to their own performance and to the performance of the learner, we will see a long step forward in public education.

Arthur R. Olson, Director
Assessment and Evaluation
Colorado Department of Education

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Introduction

The emerging importance of effective state educational leadership is increasingly evident to educators and interested citizens at all levels. The Helena Workshop, entitled "Management by Objectives (Revisited)," is a response to this area of concern, and it is part of a continuing effort on the part of ten state education agencies to improve S. E. A. management capability.

The Rocky Mountain Regional Interstate Project, as it is called, is composed of high-level members from state education agencies in the following ten states: Arizona, Colorado, Idaho, Montana, Nevada, New Mexico, Oklahoma, Texas, Utah, and Wyoming. Interstate Project activities, such as the Helena Workshop, are funded out of Section 505 of Title V of the Elementary and Secondary Education Act.

As suggested in the title "Management by Objectives (Revisited)," the Project has dealt with the topic prior to the Helena Workshop. Over last two years alone the Project has held a number of workshops that have dealt directly with management-related activities at the S. E. A. level. Topics of previous workshops have included management by objectives, linear programming for educational systems, systems analysis in education, performance contracting, communications and public relations.

In a sense, the "M. B. O. Revisited" Workshop has placed into

perspective earlier workshop efforts. The focus of the Workshop was really "Management of State Education Agencies: Past, Present, and Future."

It is, of course, not possible to report accurately the substance of the numerous in-depth discussion sessions that took place during the workshop. The major presentations which are included in this report do, however, provide the reader with a representative picture of the content of the workshop. More important, they provide the reader with a reasonably concise notion of the rapid emergence and sophisticated development of S. E. A. management.

The first presentation, by Ray Klawuhn of the American Management Association, presents a conceptual "umbrella" of management. The six fundamental activities of management presented by him describe in general terms much of what top-level S. E. A. personnel are doing. Ray's presentation provides a framework within which to view many activities of state education agencies, including previous activities of the Rocky Mountain Interstate Project.

The second presentation recorded in this report provides a concise, yet thorough, description of the evolution and present state of S. E. A. management in Nevada. This presentation is actually made in three parts. A first-hand perspective of the development of the S. E. A. in Nevada was presented by Dr. Burnell Larson, Superintendent of

Public Instruction. Many of his remarks about Nevada applied to other states represented at the Workshop.

The second part of the Nevada presentation focused upon current management activities in the S. E. A. in Nevada, and especially the efforts in planning and evaluation. James Kiley dealt with determination of goals and objectives. In the third part of the Nevada presentation, Kay Palmer described how L. E. A. 's were involved in the objective-setting process.

Taken together, the three parts of the Nevada presentation make up a very instructive "case study" of S. E. A. management. As indicated in the evaluation of the Workshop, most participants felt that there were many parts of the "Nevada Case" that applied to their own respective states.

The state presentations by Oklahoma and Texas highlight other specific activities of state education agency management. Whereas representatives from Nevada dealt largely with objective-setting, Oklahoma focused on records and information management, and Texas focused on management assessment activities.

Included at the end of this report are:

(1) state-by-state lists of "next steps" regarding management by objectives;

(2) a summary of the workshop evaluation; and

(3) the roster of participants in the conference.

MANAGEMENT BY OBJECTIVES

An Introduction

Ray E. Klawuhn, Educational Planning Director
Center for Planning and Development

Management by objectives is a popular phrase in the public sector these days. Like program budgeting, PERT and sensitivity training, it is freely bantered about and grossly misunderstood. As a consequence, some regard it as a panacea for institutional failures while others consider it a businessman's device for control and repression from above. In order to balance such reactions, we have to get beneath the label and take a deeper look at the root concepts themselves.

Simply stated, management is getting things done through other people. As a function, it includes all the activities used to determine which "things" and to move "other people" toward their achievement. More importantly, it is a unity concept; that is, it calls upon its practitioner to give continuous, simultaneous and integrated attention to all of its various activities. These activities have been somewhat arbitrarily categorized as decision-making, planning, organizing, controlling the organizational entity at hand. Their role is to direct group action in a manner that maximizes result achieved in relation to the potential of all the resources employed.

When the concept is qualified "by objectives," management gives overriding attention to the purposes of the organization; all other administrative activities are carried out against the perspective of intended results. Management sees its primary responsibility as keeping before the collective mind of the organization a meaningful hierarchy of objectives to which efforts on any level may be related. The ability to maximize the proportion of effort which contributes to those objectives and minimize efforts which don't, becomes a managerial standard of performance. Though sophistication may be added where it seems appropriate, it is not a requirement of the management by objectives "system" per se.

Having said all that, the simplicity of MBO certainly seems compelling enough. So much so, in fact, that many well-intentioned groups frequently doom themselves to frustration and failure by promptly dedicating themselves to writing objectives--even to the point of PERT charting the path to some of them. Their error is to overlook the fact that the passion for objectives is only a part of the total unity concept of management. Although it is primary in importance, it is not prior in time to the other activities of management; nor can it be carried out in a vacuum. On the contrary, our experience has shown that there are six universal steps fundamental to managing by objectives:

1. A Concept of Leadership - An understanding of leadership responsibility within the organization. Institutions cannot make a

difference in our society as mere gatherings of experts. In some form, they must be guided by a concept of leadership which is specific enough to be universally understood and accepted. Many of our institutions are in danger of faltering under the leadership of men who lack the confidence to lead. To the extent that an organization shares that common peril, it must assess and act on its very real need for leadership.

2. Establishment of a Decision-Making Process - Definition of how decisions should be made in an organization. We have already suggested above that a manager's role is to realize the potenti... of his resources in the pursuit of some results. As illustrated in the chart below, these two elements are balanced through a decision-making process. The process itself is a predetermined procedure through which the broad purpose of the organization is translated into statements of specific results desired, appropriate quantities of resources are allocated to the achievement of each specific result, and policies and operating procedures are established. The effectiveness and efficiency of the entire organization will be proportional to the effectiveness of this process.

Resources		Results
Time		Time
Money	A Decision-Making Process	Quantity
Personnel		Quality
Authority		

Criteria for Effectiveness of Decision-Making

1. There is clearly defined responsibility for bringing decisions into being.
2. Decisions are, or can be, produced on a timely basis.
3. There is a predetermined means of resolving conflict.
4. There are established limits of authority for each person in the organization which specify the kinds, nature and scope of decisions the individual can or cannot make.
5. Established procedures which specify the recommended or required participants in the decision-making process and the role of each, i.e. - initiation, recommendation, approval, veto, review, etc.
6. Balance is maintained between responsibility for results and authority for making decisions within the organization.

Only when Criterion Number 1 has been met, can any management system begin to function. The remainder of the criteria can be satisfied as the managerial system is developed.

3. Definition of Results Desired - Decisions specifying the measurable results which, when achieved, will constitute success for the organization. Clear and guiding statements should be made specifying the fundamental mission the group wishes to achieve, the areas of per-

formance which are critical to their success and survival, and the interim results which are required to accomplish the mission. Naturally, such decisions cannot be made without a comprehensive feel for the dynamics of the organization and the environment in which it moves. Again, management is a unity concept.

4. Specification of Means to be Employed - Identification of tasks to be performed from among available alternatives. It is only at this point, against the backdrop already developed, that a group should decide what to do Monday morning. It is here that process becomes important - CPM, activity matrices, linear programming, all may lend a hand in increasing the efficiency of how things get done through other people.

5. Individual Accountability - Identification of who is to perform what tasks within what parameters--time. cost ethics, etc. Sanctions and rewards imposed by the system should be linked to an individual's performance standards, making each member of the organization responsible and accountable for some results which are mutually valued by the subordinate and his supervisor. As individual accountability is impossible in the absence of clearly defined standards of performance, so is institutional accountability to board or citizen a fiction without the focus of a plan derived from an organization managed by objectives.

6. Control - Monitoring of performance and modification of resource application to keep the organization moving toward the achievement of its results. We are all painfully aware of the millions of dollars

and hours which have been spent in the name of "planning". Frustration over these efforts is a by-product of the two themes which recur throughout the previous discussion: an over-anxiety to do something and the failure to recognize planning as a decision-making process. In the final analysis, we must judge the ultimate success of our institutions by this achievement of the results for which we underwrite their existence. The manager who diverts his primary attention to matters other than those results overlooks the most basic distinction which a true "management by objectives" forces us to make--the distinction between form and substance, means and ends, process and results. We believe that these six steps are the foundation on which such ultimate success must be based.

NEVADA CASE STUDY

"HISTORICAL BACKGROUND"

Mr. Burell Larson, Superintendent
Nevada Department of Education

Nevada, with an area of 110,540 square miles, ranks seventh among the states in size. All of the New England states can be contained within its borders. This considerable expanse of territory, now populated by less than five persons per square mile, had but one person per square mile as late as 1930.

When the Lincoln administration took the reins of office, several congressional leaders were already suggesting statehood for the Nevada Territory. Gold and silver were needed to raise and equip federal troops and pro-Union votes were badly needed in both the Senate and the House of Representatives. Congress approved the first enabling act for statehood. The Territorial voters rejected the first proposed constitution. In February, 1864, another enabling act passed. This time, the new state constitution was approved. The Territorial Legislature sent a certification of Nevada's loyalty--the first message sent over the Western Union Telegraph Company's new transcontinental wire--and President Lincoln proclaimed Nevada's statehood on October 31, 1864.

The Constitution adopted by Nevada in 1864 did not actually provide for a State Department of Education but it did state that the people would elect a superintendent of public instruction for a two-year term.

As did education in most other states, the schools and school districts grew as local need seemed to dictate, between beginning years of statehood and the 1900's. In 1907, a reorganization act effected a general reorganization of the school system and resulted in a real plan of supervision, but very little else was done with the public schools until the early 1930's. In 1931, the Legislature altered the membership of the State Board of Education to include the Governor of the State, the State Superintendent of Public Instruction and one elected representative from each of the five educational supervision districts.

The State Superintendent's reports from 1932 to 1950 show no major changes occuring in the State Department, but during the school year 1955-56, a very real change did occur. This change resulted from recommendations made by the Governor's School Survey Committee, appointed by Governor Charles Russell in the summer of 1953. The Committee consisted of 28 prominent Nevada citizens representing all geographical areas of the state. The group met in Carson City on November 5, 1953, and was given two specific responsibilities by the Governor: First, to investigate the financial condition of the schools throughout the state and, upon the basis of such investigation, recommend as to whether a special session of the Legislature was necessary; second, to carry on a survey of school conditions during 1954 and report the results of their survey in the 1955 Session of the Legislature. At the second meeting of the entire committee, a resolution was presented, calling for a special session of the Legislature to consider urgent school needs.

The Legislature met in special session in the Spring of 1954, and authorized the Governor to appoint a fact-finding committee and provided

for the appropriation of $30,000 from the State General Fund for that purpose. Upon the recommendation of the State Superintendent, the Governor's School Committee assigned that responsibility to the George Peabody College for Teachers in Nashville, Tennessee. At the same time, the Legislature of 1954 indicated that a written report of the results of the investigation should be made to the Governor not later than January 15, 1955. From March to December of 1954, a survey team moved into the state with eleven members, headed by W. D. McClurkin, director of the Division of Survey and Field Services, George Peabody College. The survey staff visited an extensive number of schools before the end of the school year. On the basis of observations in the schools, numerous conferences with parents, teachers and other citizens, and analysis of school records and questionnaires, the survey team was able to make recommendations late in the Fall of 1954. These recommendations went to the State School Committee. The Peabody survey report, under the title "Public Education in Nevada", was adopted by the Governor's Committee with minor alterations. A feature of the report which the Governor's Committee especially favored was that whereas in the past there had been several superintendents of schools in the county, there would henceforth be but one. It was also immediately evident that the Peabody report calling for basic foundation funds would demand additional expenditures. The State sought a source of income and settled on the introduction of the 2-cent sales tax. The Peabody survey, however, provided not only for a new method of distributing state funds but also far-reaching changes in state school administration. After ninety-two years of "local" school districts when as many as six kinds of districts

were recognized by law and allowed to organize with five resident children and to exist with but three, Nevada was now to have seventeen county-wide school districts, each with its own administrative unit. This eliminated approximately 185 local school districts. The law stipulated that county superintendents be appointed by county boards of school trustee and, greatly simplified Nevada school administration by making county-wide school districts directly responsible to the State Department and eliminating intermediate school officials in Nevada.

The 1955 reorganization also streamlined the State Board of Education and the State Board for Vocational Education, recommending that each consist of identical membership with the power to determine who should teach and what should be taught.

Under previous laws, there could be a superintendent of the county or district high school when there were ten teachers employed and an elementary school superintendent with a like number of teachers. Two entirely different philosophies of education might exist in the same geographical area--one pertaining to the secondary school and one to the elementary. Similarly, secondary and elementary education were financed by entirely different methods. Henceforth, there would be but one board of education, one superintendent of schools in an entire Nevada county, and one method of financing education.

One of the most interesting and curious changes brought about by the School Code of 1956, was the legal recognition of the Nevada State Department of Education. The document begins, "A state department of education is hereby created." Over a period of years, as the state superintendency had developed and as various supervisors and deputies had been added to the department, the agency had grown, out of necessity, but with no legal basis.

The decisive action of the 1955-56 Legislature in reorganizing and consolidating school districts and in providing resolution and credence to the State Department of Education had far-reaching and sometimes traumatic consequences which have not entirely died down, even to this day. Such action, however, did indeed set the stage for the changes that were to follow, not only in the school systems but in the State Department of Education. The creation of the Western States Small Schools Project in January of 1962, funded by the Ford Foundation, and formed by five cooperating state educational agencies committed to the improvement of education programs in small rural communities, gave the Nevada State Department of Education, for the first time, insight into working relationships with other states in solving problems of common concern and heritage. The eight-state project, "Designing Education For The Future," was of significant additional influence on the development and direction taken by the Nevada State Department of Education. Arizona, Colorado, Idaho, Montana, Nevada, New Mexico, Utah and Wyoming entered into an agreement in this project to cooperate in improving and strengthening leadership of state education agencies to assure the kind and quality of education that will be essential for the future.

Paramount in all of this, however, was an emerging comprehension that state departments of education needed to respond more manifestly to impending changes. The old growth patterns which had been responsive to pressures rather than to assessed needs were no longer germane since it was now becoming apparent that planning was essential, that the structure of the department must not only lend itself to the development of such planning but be flexible to meet and command new requirements.

In 1965 and 1966, members of the staff of the University of Nevada were commissioned to undertake an extensive reorganization study of the Nevada State Department of Education. The study was completed in December, 1966, and it was particularly timely because of the influx of federal funds for education in Nevada administered through the Department. These funds provided needed resources to improve the administrative leadership capabilities but at the same time called for substantial evaluation of the educational programs. There was, then, an almost instant demand for expertise in planning, management and evaluation at the state and local levels.

My appointment as superintendent in September of 1966 came at a time when not only the U. S. Office of Education and the Congress were making additional demands on the State Department of Education, but the State Legislature, also, was looking to the Department for leadership.

In December, 1966, the new organizational pattern of the Nevada State Department of Education was presented to the State Board. As expressed in the proposals, the philosophy of the reorganization plan was that form should follow function and that the structure must be basically flexible to permit the agency to meet the priority needs of education in the state as they developed. The roles of consultants and supervisors were changed from "specialists" to "generalists" and the use of interdepartmental task forces was instituted to assure communication and coordination. A superintendent's Cabinet and a Department's Planning Council were established to define decision-making levels of the management and middle-management staff of the Department.

A statement of belief or philosophy for the Department of Education was also developed. This statement, while brief, provides a consistent philosophical basis and it is fundamental to both the reorganization and to the development of the Department. It also gives credence and purpose

to Department organization and Nevada State Board of Education intent.

Early in 1967, the total reorganization plan was accepted in principle by the State Board of Education. The Superintendent, along with his Cabinet and Council, was charged with the implementation of an organizational structure essentially the same as that recommended in the study. Functional specifications were drawn for staff positions at all leve

In addition to the development of the philosophy and the restructuring of the organizational pattern of the Department, it became evident that there was need of a clear statement of direction for total education in Nevada. The assessment of present educational practices, the reaffirmation of needed change and the development of concrete exemplars for the realization of those changes were necessary if education was to move forward on all fronts. The Department of Education's response was a document entitled, "Planning Education for Nevada's Growth - A Master Plan".

The need for a comprehensive plan of education was also identifled by the 1967 Session of the Nevada State Legislature, which directed the Department to develop a comprehensive statewide plan for education which would provide the Legislators with information about education's impact, its evaluation and the implications for needed changes in the '70's.

Total staff of the Department of Education participated in the development of this Master Plan--a two-volume publication of some 550 pages with accompanying filmstrip, which detailed a planned program for education toward which total resources of the Department should be committed. It supports the assumption that the elements of the design should include four major categories: curriculum, finance, organization and facilities.

Special consideration was also given during the 1967 Session of the Nevada State Legislature to recomposition of the state plan for financing the public schools. Most significant of the changes accomplished in the new statutewas the development of a mechanism which rather effectively eliminated categorical incentives for the deployment of dollars to school districts and made funding available through one reference point: Average daily attendance of pupils--a common and significant element which has application everywhere. This element eliminates all the "bargaining" positions which formerly were possible under the various interpretations of categorical programs. This new plan of state school financing, called the "Nevada Plan", also required the Department to evaluate educational programs conducted by the seventeen county school districts and authorized that funds could be withheld from those districts if standards were not maintained.

If the exercises which the State Department of Education had gone through to this point illustrate anything significant, it is that there was an increasing need for long-range planning and for the identification of clear-cut missions, goals and objectives for the Department's operation. It is believed that all of the efforts expended during the years 1966 through 1969 were leading eventually toward this capability but never had there been sufficient funding to place responsibility for long-range planning or any of its related components, such as management and evaluation. Yet the demands for assessment of needs and evaluation of competencies were becoming more and more apparent, particularly as announced in guidelines for the various federal programs. Accordingly, in 1969, a major assessment was conducted by the University of Nevada after a State Department task force set the parameters for such an assessment and had shown its requisite components.

Recognizing the need for a planning and evaluation capability, the State Superintendent issued a position paper regarding the place of comprehensive planning in the State Department of Education and attempted to relate this comprehensive planning capability to the Master Plan. This paper also emphasized the importance of assessment-evaluation and improved resource management.

In 1970, the Department "Needs Assessment" task force completed the specifications for a "Conceptual Needs Assessment Program". The purpose of this assessment was to determine what the various publics perceived as the most critical educational needs of Nevada. The assessment task force also developed a 402 Comprehensive Planning Application which was submitted to the USOE and approved, effective May 15, 1970. An additional position paper was also issued by the Superintendent concerning "Accountability in Elementary and Secondary Education" which further reinforced the need for comprehensive planning and further explored the various concepts of planning and their applicability to education in Nevada.

The Planning and Evaluation Unit in the Nevada State Department of Education was accordingly installed as an integral component of the Department and given division status with the director assuming title of Associate Superintendent. This division was given entity and became operable on November 2, 1970. Its basic responsibility was to establish a permanent planning and evaluation capability in the Nevada State Department of Education.

The extent to which this division has accomplished its purpose, you may judge for yourselves after hearing the presentation by Mr. Kiley

and his staff. I feel that some very significant things have been accomplished by this new division. You may argue with our process for arriving at this point but I believe you will admit that our goals and missions are reasonable and supportable.

The foregoing brief history of Nevada's Department of Education is not particularly valuable except as a case study illustrating the search by people engaged in a common effort to find a better way, to make all their exertions count and, in turn, be judged by their accomplishments or lack of them. It is a documentation of one state's exertion to identify the problems of education, enunciate the solutions as carefully as possible, provide resources to execute those solutions and to scrutinize and pass judgment on their effectiveness. The route taken has often been too devious and progress too often faltering but the staff has never shown a reluctance to make choices based on the best evidence available. I am sure that that same staff has recognized that there really aren't any riskless choices.

"ACTIVITIES OF THE DIVISION OF PLANNING AND EVALUATION"

Dr. James Kiley, Associate Superintendent
Nevada Department Of Education

Mr. Larson has provided an excellent background for the presentation we have prepared for the remainder of this session. The Nevada Department of Education established the Division of Planning and Evaluation in November, 1970, and charged the Division with the responsibility for developing a systematic and comprehensive planning model, a needs assessment-evaluation model and an educational management information system model. The basic requirement assigned to the Division was that all of the models had to enable the Department to evaluate its programs and services on the basis of the effect these programs and services have on the children of the state of Nevada.

The staff of the Planning and Evaluation Division devoted about two months to the review of the expectations that had been established for the Division in an effort to conceptualize role and function and the relationships among the various models that were to be developed. Staff recognized from the beginning that the Division had been imposed on an existing organizational structure and the responsibilities of the Division would affect every individual in the Department. Thus, to minimize disruption, Division staff carefully reviewed all past accomplishments and current programs of the Department that could

be related to planning and evaluation. Examples of some of the more pertinent accomplishments and current programs include the Department reorganization plan, the Master Plan for Education in Nevada and the results of two previous statewide needs assessment studies. As a result of implementing the Department reorganization plan it was noted that inter-departmental task forces had been utilized extensively for the past four years and there are people in each departmental unit who are knowledgeable about systematic planning, needs assessment, evaluation, etc. Further, as Mr. Larson has mentioned, the implementation of the reorganization plan has created two major decision-making groups to improve agency communications and management. These two groups are the Superintendent's Cabinet and the Council. The Cabinet serves as the top level management group and all Division Associate Superintendents, the Deputy and Assistant Superintendents and the Chief State School Officer are members. Membership on the Council includes all professional staff members who have management responsibility below the Division level; thus, the Council serves as the middle-management group. The Planning and Evaluation Division has consistently taken advantage of the Cabinet and Council to obtain input for proposed activities, to ensure continuous communication and to obtain approval for the implementation of all activities.

During the first two months of operation it became apparent to the Planning and Evaluation Division staff that a single comprehensive planning model had to be conceptualized as a first priority to provide the overall structure and direction for future efforts. Staff felt that evaluation, needs assessment, information systems, etc. ,

were all elements of comprehensive planning and that any effort to develop models for the elements in isolation of a total structure would be doomed to failure.

Since our comprehensive planning model is based on a goal and objective hierarchy, the Planning and Evaluation Division staff had to develop models and guidelines to define and describe the requirements of the hierarchy. The hierarchy provides for one kind of goal statement and two kinds of objectives. All partsof the hierarchy are very precisely defined and users of the comprehensive planning model must use the definitions provided. We have used many of the materials prepared by the EPIC Diversified Systems, Inc. in our goal and objective hierarchy.

We have defined goal statements just as many other states have defined them. A goal is an end toward which an agency performs work or renders service and a goal statement is general rather than specific, does not specify time nor output and is not quantifiable. When the comprehensive planning model was conceptualized the Department of Education had not adopted goals for education in Nevada, and since the keystone of the model is a goal and objective hierarchy we had to get on with the development and adoption of goals before any elements of the model could be implemented.

Planning and Evaluation Division staff conducted a rather thorough review of past and present efforts to develop educational goals and discovered that substantial resources had been invested by many institutions in an attempt to define and validate goals. Staff also noticed that the goal statements produced by the various institutions were very similar. We debated the desirability of replicating

the work accomplished by others in developing goals but we decided that we would be further ahead if we could locate an acceptable statement of goals and adopt them for our state.

The ten common goals developed by the Far West Educational Laboratory in Berkeley, California, seemed most appropriate for our state in terms of the written philosophy of the State Board of Education and the Master Plan for Education in Nevada. The ten goals were presented to the Council, Cabinet and State Board of Education for consideration and all three groups approved them for adoption.

A rather significant characteristic of the common goals that we have adopted is that all of the goal statements are learner-oriented. Earlier in this presentation it was noted that we were directed to develop a comprehensive planning model that would enable the Department to evaluate its services and products in terms of the effect these services and products have on the public school children in the State of Nevada. The ten common goals that were adopted are in keeping with this responsibility, as none of the goal statements refers to agency management, accountability, effective operation or any other institutional purpose. All ten of the goals address learner behavior.

The goal and objective hierarchy provides for two kinds of objectives and defines an objective as an intermediate end for which work is performed or services rendered. The two kinds of objectives are performance and process objectives. A performance objective is defined as a statement that specifies a desired level of behavioral change on the part of the learner. The guidelines that we have developed further specify that a performance objective must contain

the following six elements: (1) Who will perform the specified behavior; (2) What behavior is expected to occur: (3) What are the circumstances under which the behavior will be observed: (4) How will the behavior be measured: (5) What amount of time is required to bring about the specified behavior: and (6) What is the expected proficiency level.

A process objective is defined as a statement that describes an activity which affects the performance of the learner. Thus, in our hierarchy, the performance objective specifies the level of behavior of the learner and the process objective specifies the activity that will be implemented to bring about the behavioral change on the part of the learner.

We feel that the goal and objective hierarchy and the planning model will enable the Department to evaluate services and products in terms of the changes that are produced in the behavior of learners throughout the state. Since Department staff do not work directly with children (learners) it is possible for staff members to describe their work in process objective format and relate their process objectives to specific performance objectives which do relate to learner behavior.

As of this date we have completed a partial performance objective hierarchy in our needs assessment program. The hierarchy is partial in that it is confined to the third grade level and the content areas of reading and arithmetic. In developing this portion of the hierarchy we conducted workshops for selected third grade teachers from each school district in the state. While at the workshops the

teachers wrote performance objectives in reading and arithmetic that were representative of the courses offered and the student population served in their respective schools. The teachers first developed classroom level objectives and then pooled the classroom level objectives into school level objectives. We then asked the teachers to assist us in grouping the school level objectives by type of school classifications. Because of the unique geographic and demographic characteristics of Nevada we have classified our schools as remote rural, rural and urban. After developing the school classification level objectives we were able to establish state level performance objectives in reading and arithmetic, for third grade students.

Thus, our performance objective hierarchy presently consists of state, regional and school level objectives in third grade reading and arithmetic and in the coming school year for the first time our needs assessment program will yield statewide information about the performances of third grade children from throughout the state in the two content areas.

We realize that our performance objective hierarchy is incomplete and that we have much work ahead of us before we can relate all of our process objectives to specific performance objectives; however, we feel that we have developed a reasonable system and are confident that we want to make it work.

The process objective hierarchy is nearly complete and we are presently in the refinement and up-dating phase of the program. Dr. Palmer will describe this hierarchy in detail as it relates to the major theme of the conference - "Management By Objectives." I have attempted to describe our conceptual framework for a planning system

since, in our operation, management by objectives is a part of the total system.

"WORKING WITH LOCAL EDUCATION AGENCIES"

Mr. Kay Palmer, Director, EMIS
Planning and Evaluation
Nevada Department of Education

In our training sessions we went into the elements of what process objectives are. We explained to the staff that each process objective written must contain each of these elements: (1) what specific activity is to be conducted; (2) who is responsible, what person or group may be responsible, for the activity; (3) the amount of time that would be required to complete it; and then (4) what specific tangible outcome will result from the completion of the activity.

There is, understandably, quite a variety of quality in the process objectives that were developed. Some are excellent; some, the majority, are pretty good; and of a few the quality is abysmally low.

We tried to show people the relationships between goals and objectives, the interrelationships among the three things: goals, process objectives, and performance objectives. We also asked them to attempt to relate the process objectives that they were going to write to one or more of the stated goals that Jim mentioned had been adopted for the State of Nevada. We gave them a work form on which they were to identify and then enumerate each of these four elements of a process objective.

We found it very difficult in some cases for these people to establish these relationships, because our goals were entirely a learner-oriented thing, and here were people performing functions, conducting activities, writing objectives for things in which the relationship between that and any kind of learner goal were rather vague and difficult to establish at first.

We also asked them to not only identify a stated goal, but to come down to the division level and establish goals for the division, and then write their process objectives in relationship to these division goals.

After a half-day orientation process, we then broke the group, our staff, into small groups according to their areas of interest. Usually branches got together, sometimes divisions, depending upon the size, and they sat down for about two and a half days to actually write their process objectives which covered all of the activities that they were engaged in. The consultants that we employed circulated among these people and gave them assistance along the line.

We asked them to write these objectives from March '71 to June '72. They went to work and wrote for two and a half days. After this they were given a week in which to complete at their desks anything that they hadn't been able to accomplish during those two and a half days.

We then took these and forwarded all of the process objectives to our consultants. They went through these and critiqued them, not for appropriateness of what someone is doing, but simply for format. They went through them to insure that each of them contained each of these four elements.

The consultants then came back to the State Department after they had an opportunity to critique these objectives, and sat down with each member of the staff for a brief time to discuss with each staff member his own process objectives, and to try to again strengthen them a little bit. The consultants then went back, grouped the objectives together by unit according to division or state goal, put them in a loose-leaf binder, and then sent them back to us.

We purchased a hundred copies of the combined objectives. Each member of the staff is to get one. We then circulated this document to the Cabinet and to the Council for editing. We asked these people to go through these carefully with the appropriate staff to determine whether or not they were appropriate, whether or not these objectives accurately reflected the activities of the particular unit. We asked them to check to see whether or not there were gaps that had been overlooked in the activities of an individual, again attempting to strengthen the objectives.

Finally, I should say something about monitoring process objectives. This is one of the most important aspects of the whole process, because without monitoring we really have nothing. Unless we can devise some kind of system, and we have not yet devised such a system, whereby we can continually keep in touch with these process objectives--to determine which ones are being met, which ones are not being met, what other kinds of resources have to be channeled and focused in certain areas in order for process objectives to be met--as we go along, this whole process will be rather futile. If we can, and we're sure that we can, devise a monitoring system that will answer these questions for us at the time

that we want them answered, we think it can be one of the most marvelous management tools that we can imagine. We are very optimistic about this entire approach, we are very hopeful that its benefits will be felt on the individual level as a means of self-direction in terms of a state-wide effort. We are hopeful that this process will be a means by which units within the State Department will be given direction, again coordinated with state-wide effort and supported by individual activities, and we are hopeful that our State Department as a whole will, through this process, be able to function more effectively, more efficiently, and with a more unifiedpurpose perhaps than we have ever been able to before.

"DEVELOPING A RECORDS AND INFORMATION MANAGEMENT SYSTEM"

Planning Team
Oklahoma Department Of Education

The stage for developing a records and information management system was set by the newly elected State Superintendent of Education in Oklahoma. One of the planks in his campaign platform was a promise to reduce the paperwork required of people in education. The election promise has taken the form of a systematic and thorough analysis of current records and information in Oklahoma.

A cursory examination of records revealed that school districts had to submit over five inches of reports to the State Department of Education in a year! There were 337 separate data gathering forms, or about two forms for every school day!

A special task force was created to deal specifically with this ponderous requirement placed on school districts by the State Department. The purpose of the task force was simply: "to provide for the control of reporting data to and from the State Department of Education, assure the data are necessary, and assure the data may be used efficiently and effectively."

The three general goals of the task force were as follows:

1. Cooperatively develop a reporting and information system to improve education in Oklahoma.
2. Contribute to the strengthening of local leadership.
3. Promote departmental staff growth through exposure to the multi-dimensional educational problem of reporting and information systems.

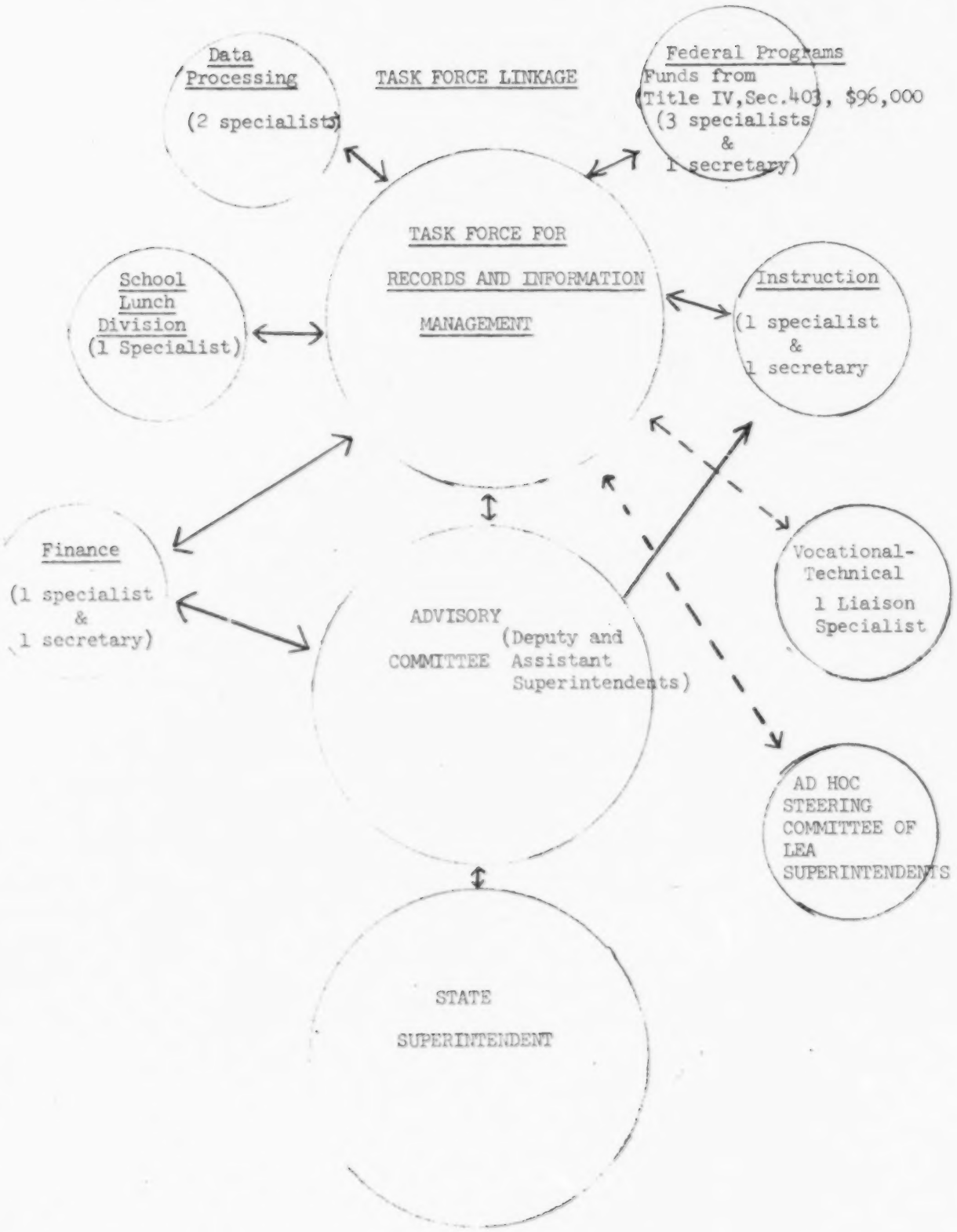
The task force was given additional guidance through the establishment of four specific objectives by the Superintendent.

The specific objectives of the task force included the following:

- To inventory and categorize existing reports;
- To eliminate all duplicated data elements on L.E.A. reports;
- To develop a report format that will insure rapid and efficient completion by the L.E.A. and expenditious input into the computer or other analysis system;
- To enhance timely dissemination of data to the user.

These objectives applied to all reports prepared by L.E.A.'s or County Superintendents' Offices for the State Department of Education and all reports prepared by the Department for outside agencies. All personnel in all divisions of the State Department of Education were responsible for cooperation with the task force designing the new system.

The task force was appointed by the State Superintendent and the Deputy and steered by the Advisory Committee (consisting of Assistant Superinten-


Data Processing
(2 specialists)
TASK FORCE LINKAGE
Federal Programs
Funds from Title IV, Sec. 403, $96,000
(3 specialists & 1 secretary)
TASK FORCE FOR RECORDS AND INFORMATION MANAGEMENT
School Lunch Division
(1 Specialist)
Instruction
(1 specialist & 1 secretary
Finance
(1 specialist & 1 secretary)
ADVISORY COMMITTEE
(Deputy and Assistant Superintendents)
Vocational-Technical
1 Liaison Specialist
AD HOC STEERING COMMITTEE OF LEA SUPERINTENDENTS
STATE SUPERINTENDENT

dents). The linkage of appropriate personnel to the task force is depicted on the following page.

The general strategy of the task force includes a wide range of activities. A systems analyst and graduate student were brought in to analyze the system. They compiled over 14,000 separate data items in the 337 forms. They then developed forms to be used to ascertain data requirements.

One form was used to record the specific kinds of information about each of the 337 data gathering forms used by the State Department of Education. Each division answered the following questions about each form it issued:

1. Which L. E. A.'s submit the reports?
2. Why should the report continue to be used? (Answering this question requires a precise explanation of the content and why it is required.)
3. Is any part of this form required by law? (If so, which part(s)?)
4. Does this form ask for any data not used by your division? (If so, which parts?)
5. How often are the forms submitted and, specifically, when?
6. Which S. E. A. divisions receive this form?
7. Which S. E. A. divisions will actually use the data?

In addition, on a second form the following information was gathered for each question found in the data gathering forms:

1. What does the question actually ask for?
2. Who requires this data and why? (e.g., S.E.A., L.E.A., U.S.O.E., etc.)
3. What date must this data be in the hands of each receiver?
4. What is the last possible date this data can be available?
5. What is the earliest possible date this data can be collected?
6. How would you classify this data: "crucial", "not essential", or "not sure"?

After these two forms were developed a very extensive set of interviews was set up with S.E.A. personnel. Twenty two separate groups of S.E.A. personnel met with the task force to discuss their sets of forms. Each meeting lasted between one and five days.

The large number of groups (and forms) involved indicate the comprehensive nature of the entire project. S.E.A. staff from the following areas were involved in the interviews:

- Instruction
- Personnel
- Certification
- Foreign Language
- Indian Education
- Fiscal Auditing
- Finance
- Transportation

- Special Education
- School Plant
- Textbooks
- School Lunch
- Safety Education
- U.S.E.A. Titles I, II, III, V
- Migrant Education
- Guidance
- N.D.E.A. Title III
- Adult Basic Education
- Evaluation

After this extensive set of interviews, the task force developed a matrix of people in divisions and data requirements, i.e., "Who really needs what data?" Then the task force had to determine answers to the following set of questions for each data item:

1. Is the data available to the school districts, i.e., can it be gathered economically by them?
2. To what extent is the data reliable, meaningful, current, and useful?
3. To what extent does the form for recording the data comply with accepted record keeping systems of other S.E.A.'s, U.S.O.E., and related organizations?

Once non-essential data items were eliminated, the information requirements were re-analyzed in terms of required reporting times. The data broke into three general reporting time categories:

1. Beginning or fall reporting system.
2. End or spring reporting system.
3. Other reporting system.

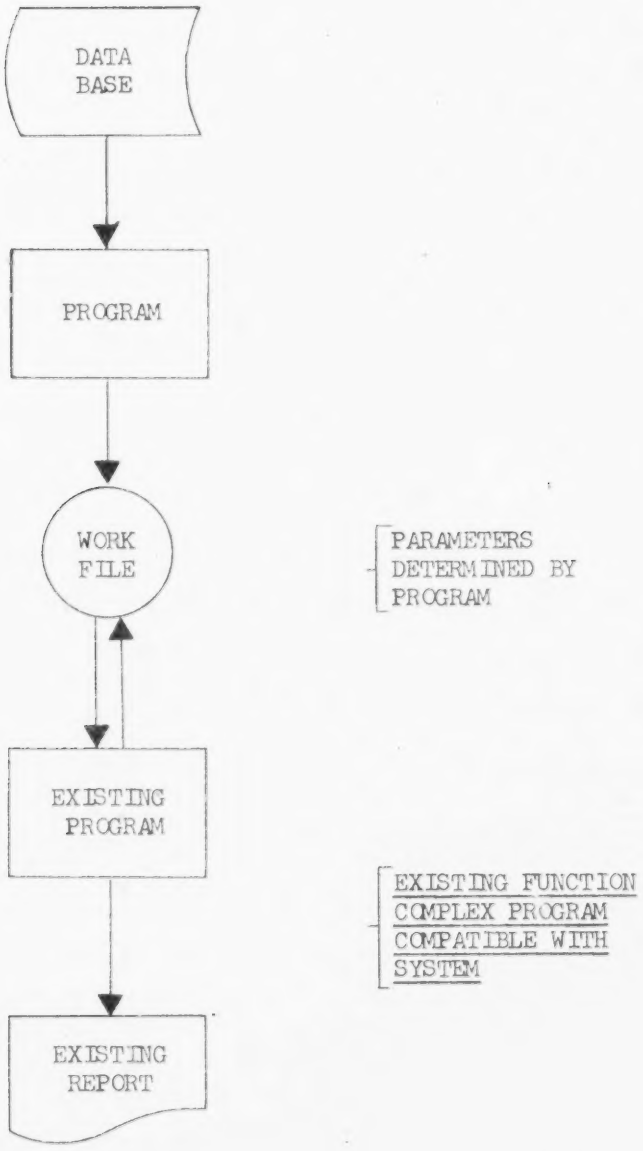
In addition, data were divided into "content" categories, e.g., personnel, finance.

The progress of the task force to date is best represented by the following drawing. The task force has developed a data base that is required for the efficient operation of S.E.A. programs. The content of the work file where data is stored and retrieved is determined by the data requirements of the S.E.A. programs.

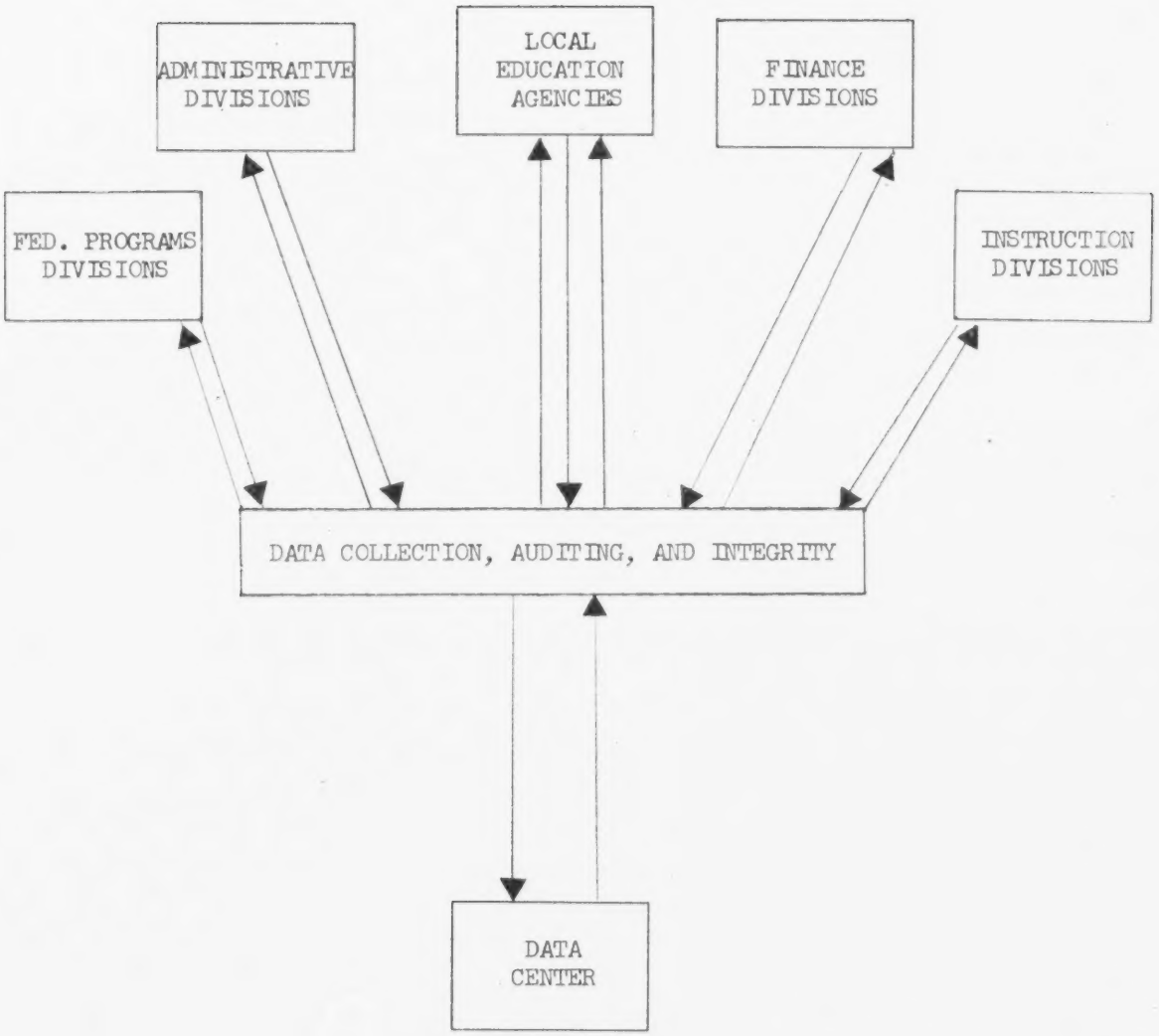
At the same time that the "new" work file was being developed, existing reports supply data for existing programs, and the data from these forms is stored in the work file. The work file supplies relevant information for existing programs at the S.E.A. level, allowing S.E.A. programs to prepare existing reports. These same existing S.E.A. programs in turn generate data which is fed into the work file.

The "finished product" will amount to a relatively compact and efficiently centralized information center depicted on the following page. Activities of the S.E.A. divisions and of L.E.A.'s which require large-scale data handling will be increasingly coordinated.

Before the charge to the task force is completed, it will have had to design the general information system, develop the master data base design (including updating), and design the new information forms that will be used. Once the forms get designed, the State Department of Education will conduct a series of workshops to acquaint school


DATA BASE
PROGRAM
WORK FILE
PARAMETERS DETERMINED BY PROGRAM
EXISTING PROGRAM
EXISTING FUNCTION COMPLEX PROGRAM COMPATIBLE WITH SYSTEM
EXISTING REPORT

INFORMATION THROUGHPUT



districts with the new system.

After this is done, the system will be piloted into school districts before full-scale operation. In addition to reducing the overall number and complexity of forms the L. E. A.'s have to fill out, the S. E. A. hopes to pre-print as much "identification" data as possible on the new forms. This will reduce even more the burden of filling out forms.

The next big conceptual step in the improvement of the information system goes beyond the mere reduction of the number of forms, as complex as that task is. The next step involves an evaluation of the very decisions made in the State Department of Education. This definitely goes beyond determining information requirements for existing decisions.

"DEVELOPING A STATE-LEVEL MANAGEMENT ASSESSMENT SYSTEM"

Planning Team
Texas Education Agency

Background

The management system of any state education agency is a complex organism. The management assessment system described below is a way to examine the management system of state education agencies. More precisely, it is a system, or set of procedures, which will enable executive management in an S.E.A. to determine how effectively it is performing its role of managing the efforts of the whole agency in its pursuit of the results it is striving to achieve.

The rationale for an M.A.S. for a state education agency can be traced back to several sources. Over the past several years there has been a growing interest in the role of state education agencies as educational leaders, as evidenced by funding of E.S.E.A. V and E.S.E.A. III. Large categorical program dollars have been appropriated by Congress as well as by state legislatures to be administered through S.E.A.'s.

As a result of the above developments, the scope of responsibility, the complexity of work, and the size of S.E.A.'s have increased

rapidly. At the same time that new programs and added program dollars have added a sound resource base for educational activities in each state, the fragmented nature of the purposes, rules, and regulations of these programs has tended to splinter the S.E.A. As a result, the S.E.A. operates more like a confederation of loosely related parts than a unified purposeful institution under the focused leadership of a competent and responsible chief state school officer.

In 1967 the Council of Chief State School Officers and U.S.O.E. Commissioner Howe signed an agreement to form a State/Federal task force to build a system to evaluate federally-assisted programs, and to attack the excessive proliferation of information reporting which has resulted from these fragmented Federal programs. At the same time, U.S.O.E. initiated a series of Regional Interstate Projects for comprehensive planning and program consolidation (E.S.E.A. V, Section 505).

Shortly thereafter, strong leadership came from the division of U.S.O.E. responsible for E.S.E.A. III, for S.E.A.'s to develop a sound needs assessment basis for total program planning, innovations, and operations. Then in 1970, Section 402 was passed by Congress providing support for planning and evaluation in S.E.A.'s and support for other developmental projects to advance the science and art of management of the S.E.A.

Thus, for several reasons, the performance of management

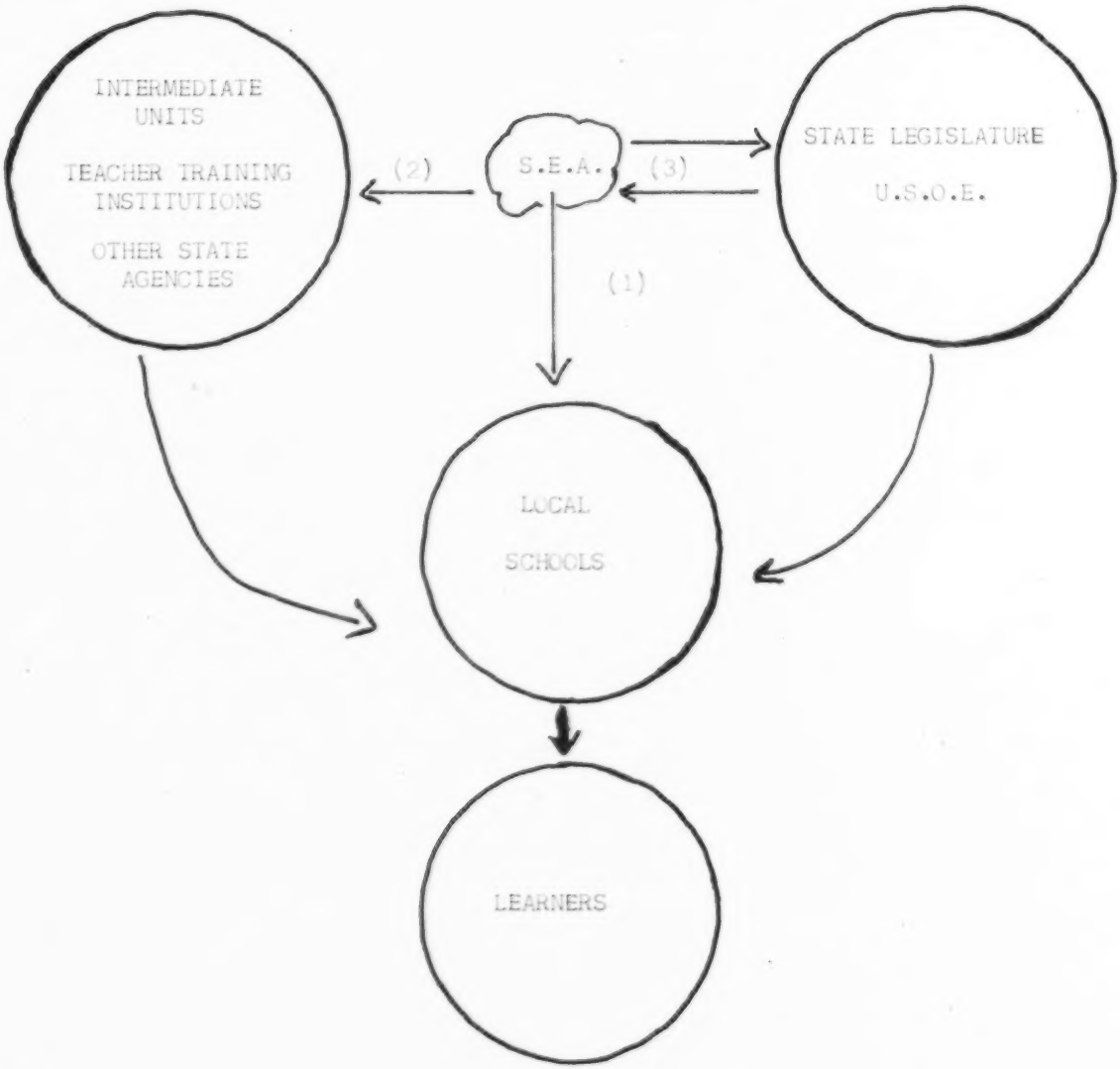
of the state education agencies became a topic of concern both in terms of assessing its present status and providing possibilities to strengthen its effectiveness. Based in large part on the set of developments described above, the U. S. Office of Education entered into a contract with the Texas Education Agency, with provision for participation of Washington and Colorado, to develop a specific set of procedures to assess the effectiveness of management and to produce evaluative information which may be used by chief state school officers who choose to improve the management of their S.E.A.'s.

The Role of the State Education Agency

The business of the S.E.A. is carried out in four main streams:

1. Working directly with the educational institutions (the local schools).
2. Working with other institutions which, in turn, influence or assist the local schools (teacher training institutions, intermediate units, other state agencies).
3. Working with bodies which authorize, constrain, and fund educational programs conducted by the educational institutions (the state legislature, U.S.O.E.).
4. Developing and administering the S.E.A.'s own institutional capability to carry out the above three.

The drawing on the following page illustrates this relationship.


INTERMEDIATE
UNITS
TEACHER TRAINING
INSTITUTIONS
OTHER STATE
AGENCIES
(2)
S.E.A.
(3)
STATE LEGISLATURE
U.S.O.E.
(1)
LOCAL
SCHOOLS
LEARNERS

Much of the effort of the S.E.A. is invested in the first of these four streams--working with the local schools as institutions which carry out the educational program of the state. These efforts consist of specific operations which may be viewed as expressions of six principal modes which the S.E.A. has at its disposal to interact with local schools:

1. flow of funds
2. flow of information
3. technical assistance
4. regulation
5. evaluation
6. operation of schools (special schools or institutions)

These six modes of interaction are in reality clusters of similar operations, tasks, activities, or processes which are performed by various personnel in the S.E.A. at various times and against various objectives. These operations link the S.E.A. with other institutions and agencies.

However, all of the operations performed by an S.E.A. are not cases of interactions with educational institutions. In some cases an operation performed by the S.E.A. may constitute an interaction with institutions other than local schools--such as intermediate units, other agencies of state government, the legislature, the U.S.O.E., other federal agencies, higher education institutions, the public,

private foundations, etc. In other cases an operation under one of these functions may be performed as an interaction among two or more units within the S. E. A. itself. Thus, each of the six functions includes operations performed externally toward other institutions, as well as operations performed internally against other units within the S. E. A.

Another important distinction to be made among the operations which make up each of the six functions is that some operations are of an active or initiating type, while others are of a passive or responding nature. The active operations constitute actions taken or work performed; the passive operations are more in the nature of becoming aware, receiving documents, etc.

The S. E. A. seeks to achieve certain stipulated outcomes among learners, among educational institutions, among other institutions which influence or assist local schools, and among governance institutions which facilitate or constrain the activities of local schools. In order to pursue these stipulated outcomes, the S. E. A. performs work. This work consists of specific operations which are expressions of the six functions at the disposal of the S. E. A. outlined above. These specific operations are many and varied, and are assigned differentially to different administrative units of the S. E. A. If the S. E. A. is to be regarded as an organization, these operations must be arranged in a consciously designed, integrated pattern through which the total

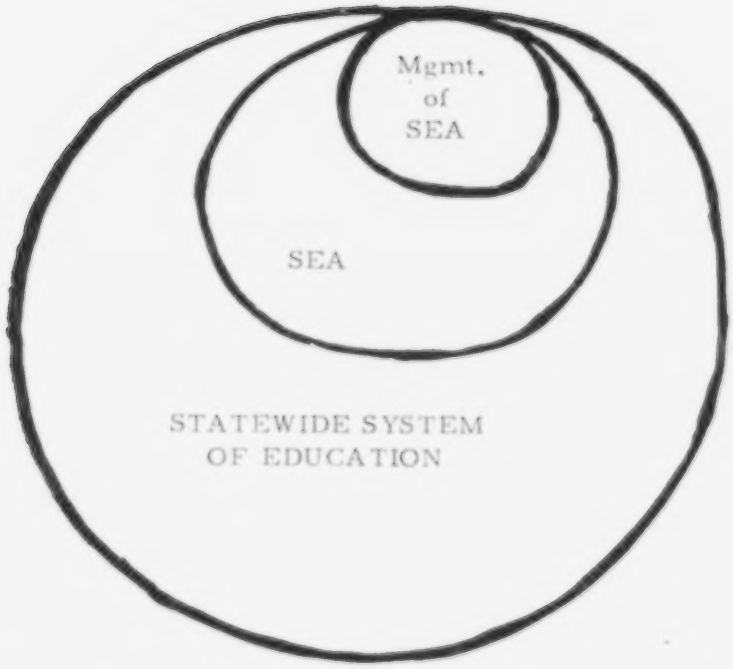
organization is most likely to effectively and efficiently produce the outcomes it has stipulated. The definition of administrative units must be such that desired outcomes and operations can be assigned to them with ease. This designing and patterning of outcomes, administrative units, and operations is the principal responsibility of management.

The S. E. A., then, is an institution with responsibility for managing a larger system of public education which is composed of numerous institutions. Thus there are two levels of management which must be considered:

1. The management and direction of the educational institutions and related support systems.
2. The management and direction of the SEA itself as as an institution charged with responsibility for the above.

The Management Assessment System for S. E. A.'s under development here is concerned with the latter of these. And the management performance is defined as the articulation of desired outcomes, the design and assignment of work to achieve these outcomes, the budgeting of resources to support the work, the evaluation of effectiveness and efficiency of the work with regard to the outcomes produced, and the replanning of outcomes and work assignments according to evaluative findings.

It is the "wheel within a wheel" notion, as shown below.



What Management Is

It is proffered, then, that management of an S. E. A. is not the performance of operational work elements, but is the design and direction of the total pattern of work elements in the service of specified outcomes. Accordingly, we may describe management as consisting of the following:

Planning

- Determining the outcomes to be sought in terms of learner development, local school improvement, and conditions required to permit these outcomes to be achieved.
- Determining the tasks or operations which the SEA must perform to attain these outcomes, and assigning these to administrative units.
- Allocating resources (manpower, time, money) to the administrative units required to perform these tasks.

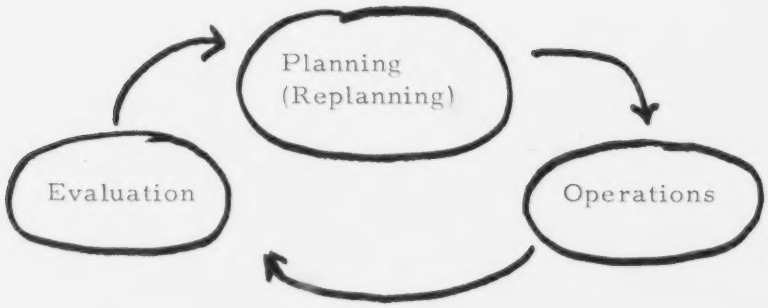
Evaluation

- Ascertaining whether the assigned tasks are being carried out according to plan.
- Ascertaining the degree to which the outcomes are being achieved.
- Reviewing periodically the reasonableness of the desired outcomes.

Replanning

- Revising the desired outcomes, the nature of the work to be performed, the structure of administrative units, and the assignment of work elements to administrative units on the basis of evaluative information.

The drawing below shows the looping relationships of these management behaviors.



Thus it is through the processes of planning (which includes goal setting, policy formulation, and research and development), internal administration (including internal budgeting and information flow), and evaluation that management of an S. E. A. sets in motion an arrangement of operations under the six functions to achieve its stated outcomes regarding the direction of the statewide system of education.

What Management Assessment Is

Management may do a good job or a poor job of setting directions or outcomes, determining work to be performed, assigning work elements, structuring the resource units of the SEA to perform this work, budgeting, and evaluating both product and process. The quality of management's performance of these responsibilities is the

subject of management assessment. This must be clearly differentiated from the evaluation of the performance of work by operatives of the S. E. A. and their results in terms of intended outcomes. The Management Assessment System is focused upon the assessment of management performance, not upon the assessment by management of work performed by administrative units. The single purpose of conducting management assessment is to provide the manager with information useful to him in determining whether the performance of management of the S. E. A. should be changed, and, if so, in what directions. The primary responsibility for assessing the quality of management performance rests with the manager himself, and the process of assessing it should be conducted by him or under his direct supervision.

To assess management performance it is necessary to do several things:

1. Formulate the assessment questions which will produce the evaluative information needed to judge the quality of management performance.

2. Describe the results of management behavior in terms of:

    a. articulation of desired outcomes for the S. E. A.;
    b. determination and distribution of work elements (tasks);
    c. design of organizational structure of administrative units to carry out work;
    d. allocation of resources to administrative units to support work;
    e. evaluative information produced about the above four, and use of that information to change management behavior.

3. Describe the actions taken by management to produce these results.

4. Develop criteria for judging the quality of these management results and the effectiveness of management behavior, that is, find answers to the assessment questions.

5. Enable the manager to identify ways in which management may be changed to improve the quality of its results and the effectiveness of its performance.

The broad management assessment questions will be:

1. Does management perform this behavior?

2. How is it done?

3. How well is it done?

   a) in reference to standard practice?
   b) in reference to the effects achieved?

4. Does management have methods to ascertain questions 1, 2, and 3?

As each management behavior is studied, there will be developed more specific questions which are appropriate to the behavior and to the function under consideration.

More specific management assessment questions include:

1. Planning: Outcomes, task, and resource allocation

   A. Does management do this?

      1. Are broad outcome statements (tasks, resource allocations) that the S. E. A. is attempting to achieve specified in writing?
      2. Are the outcomes broken down into attainable and measurable objectives?

3. What is the format of the statement? Why?
4. To whom are these outcomes and objectives assigned? On what criteria? With what information base?

B. How is it done?

1. Where do these goals (tasks, resource allocations) come from?
2. Who is responsible for developing them? Who else participates in the formulation?
3. Who and how are priorities assigned? How are various priority levels handled?
4. How and by whom are the specific outcomes assigned to the administrative units?

C. How well is it done?

1. Were the outcomes determined and assigned on a timely basis?
2. Were the instructions clear and interpreted correctly?
3. Have measurement and feedback methods been developed?
4. How frequently is the feedback required?

2. Evaluating: Tasks, outcomes

A. Does management do this?

1. Is there a specific evaluation process or system?
2. To what extent do the evaluation systems relate to the task plan and objectives?
3. Does the evaluation system provide information that allows for plan revision?
4. What is management involvement in the evaluation? Why?

B. How is it done?

1. Who gathers the evaluation information?
2. Who assigned this responsibility? On what basis?
3. By what methods is the information gathered?
4. What sub-system(s) are involved?

C. How well is it done?

1. How valid is the information gained? Why?
2. Do the costs justify the need?
3. Is the evaluation data provided on timely basis?
4. What additional information is needed? What is unnecessary?

3. Replanning: Revision of outcomes, tasks, organizational structure

A. Does management do this?

1. Is there a revision process? In writing?
2. What is the format? Why?
3. Was it part of the organizational planning process?

B. How is it done?

1. Who determines that replanning is necessary?
2. Who determines that revisions are needed? On what criteria?
3. Who performs the replanning activity? Who assigned it? On what basis?
4. How are the revisions reassigned?

C. How well is it done?

1. To what extent are the reassignments attributable to the evaluation process?
2. Was the replanning performed on a timely basis?
3. Do the revisions meet the broad goals of the Agency?

The product of this project will be a set of assessment procedures, with accompanying instruments and instructions, that will make it possible to judge the quality of management of specified functions of the

S. E. A. Such assessment will produce information which will be useful to decision-makers to make management more effective.

"RECOMMENDED NEXT STEPS IN S.E.A. MANAGEMENT"

PLANNING TEAMS:

ARIZONA

COLORADO

IDAHO

MONTANA

NEVADA

NEW MEXICO

OKLAHOMA

TEXAS

UTAH

WYOMING

ARIZONA

Staff members of the Division of Planning and Evaluation will:

1. Encourage management at all levels to review their decision-process and explore procedures which would increase the amount and type of involvement by Department members.

2. Continue to work with all Divisions within the Department until they have developed specific objectives.

3. Assist each Division within the Department in the development of a continuous review system whereby new objectives can be introduced and old ones discarded.

4. Assist each Division within the Department in the development of procedures whereby each objective is effectively monitored and evaluated.

5. Assist each Division Director in the identification of "institutional needs" required to effectively accomplish each objective.

6. Continue to assess the initial effort toward "individual accountability" as it relates to personal objectives (individualized for each Department member) and merit pay increases.

COLORADO

1. Recommend that the Administrative Council pass a resolution that they support the continued investigation of the principles of MBO.

2. Recommend that the Administrative Council appoint a committee to identify the status of the Colorado Department of Education in relation to MBO and what actions need to be taken in order to furthur implement MBO.

IDAHO

The Idaho delegation questioned the appropriateness of this assignment. The objections to it are the same as those made at the Reno meeting to a similar activity. That is, the group in attendance was assigned a responsibility without having the authority necessary to bring about results. In addition, the recommendations made are to be considered by the IPPPC project as a formal commitment to a specific direction and evaluated or monitored at some later date.

The group did agree to attempt to advance systematic management in Idaho from what currently exists. For example:

1. A SDE philosophy and goals have been adopted.

2. Through activity budgeting a rough cut of process objectives is available.

3. The decision-making responsibilities of the SDE are currently being redefined in light of a new functional organizational pattern.

4. A variety of training activities designed to build planning skills in the SDE.

In light of these facts the group felt the first step necessary was to get a commitment by top level decision-makers to begin developing a system for filling the gaps that now exist in our management system.

MONTANA

1. Development of a mission statement by the Chief State School Officer.

2. Initiate program objectives on an office-wide basis. Development of objectives will be governed by available resources and by the current educational situation as determined by ascertained needs and legislative mandates.

3. Upon possible implementation of MBO on an office-wide basis, concurrent evaluation of the MBO operation shall be maintained for the purpose of determining the usefulness of the operation and for the purpose of MBO improvement. The procedure will be done on a program by program basis.

NEVADA

1. Complete design of Process Objectives Monitoring and Reporting System.

2. Implement Monitoring and Reporting System.

Problem: System must serve all decision levels in the Department by providing accurate, timely information needed to insure efficient and effective operation.

NEW MEXICO

The most important prerequisite to the successful implementation of an objective management style in the New Mexico State Department of Education is the participation and internalized commitment by the State Superintendent of Public Instruction.

Mission sketch -- all managers in the NMSDE have objectives, strategies, and a monitoring system that relate to approved goals and are based on documented needs (both institutional and student learning) and selected priorities as related to available resources.

Tasks	Responsibility	Date
1. Develop a procedure for a task force to implement MBO in the SDE*	Planning Office	7-14
2. Request the CSSO appoint a task force to implement MBO in the SDE--the task force must have full authority to move the SDE	Planning Office	7-14

*Procedure to delineate the parameters within which this task is to operate. . .and responsibility and authority.

		Responsibility	Date
3.	Superintendent to express commitment to the staff.	CSSO	7-16
4.	All program managers will participate in a three day retreat to (1) achieve an awareness of MBO as a management system and (2) to begin refining existing goals, objectives and performance indicators.	Planning Office	7-19
5.	Task force to delineate further strategies for MBO implementation.	Task Force	7-26
6.	Refine present operational goals and objectives.	Planning Office	August
Associate Problem: To be able to create an awareness in the minds of the SEA staff of how objective type management can significantly improve learning opportunities for students.		Changing management behavior at the LEA level is the critical issue.	

OKLAHOMA

1. Recommended the U.S.O.E. require all new proposals and continuation proposals submitted by SEA's be developed in a management-by-objective format.

2. The Department of Education require LEA's submit proposals for Title III, ESEA, and Title I, ESEA funds on a management-by-objective format.

3. The planning administrator should continue to provide the State Superintendent of Instruction information on the advantages of a management-by-objective system.

4. The planning administrator should continue to encourage individual division directors to utilize the management-by objective technique.

TEXAS

1. Further advance and specify expected learning outcomes and objectives for pupils in 4 or 5 priority areas of pupil development, behavior and performance.

2. Based upon those learner outcomes, develop more orderly statements of what the SEA and other organizations and publics (i.e., courts, legislature, teacher training institutions, Regional Education Service Centers, and public opinion) which influence and have impact on local systems, expect to bring about within the statewide system of public elementary and secondary schools which will advance these pupil learning outcomes.

UTAH

Event or Activity (what)	Responsibility (who)	Initiated (when)	Estimated Completion
1. Select a planning team	State Superintendent	1970	7/71
2. Adoption by the State Board of Education of the role, mission, and functions of the S. E. A. document.	State Superintendent	--	8/71
3. An MBO plan is placed on the agenda of the Planning Council.	Don K. Richards	7/71	8/71
4. Planning Council Recommendations relative to MBO is taken to the Executive Committee.	Jay J. Campbell	10/71	--
5. Apprise State Supt. of results of Helena Workshop.	Don K. Richards	7/71	--

Event or Activity (what)	Responsibility (who)	Initiated (when)	Estimated Completion
6. Executive Committee acts on Planning Council Recommendations relative to MBO.	State Superintendent	--	9/71
7. Introduce revised DEF objectives to Planning Council	Morris Rowley	8/71	10/71
8. Executive Committee approves revised DEF objectives.	State Superintendent	--	10/71
9. State course of study committee adopts revised DEF objectives.	L. Winget	--	11/71
10. Report of decisions committee considered by planning council.		--	10/71
11. Executive Committee adopts Decision Committee Report.	State Superintendent	--	10/71
12. Relate role, mission, functions of SEA. Revised objectives and Decisions Committee Report.	--	--	11/71
13. Decide Go / No Go on further implementation of MBO.	--	--	12/71

WYOMING

1. Prior to Sept. 1, 1971, the Assistant Superintendent for Planning and Development will secure official endorsement for and commitment to the implementation of MBO in the department of education.

2. Prior to September 1, 1971, job descriptions will be developed based on a new organizational structure which is being organized on the basis of function.

3. Prior to November 1, 1971, existing goals for the department will be revised on the basis of the new organizational structure.

4. Steps 2 & 3 should serve to delineate the "in-house" decision-making process.

5. Functions will be validated against identified purposes and/or missions.

6. Secure input from publics as to appropriateness of goals and identified functions.

7. Revalidate goals and functions on basis of input received in Step #5.

8. Begin development of process and product objectives to achieve the established goals.

9. Develop monitoring and evaluation systems.

10. Develop process for systematic revision (updating) of objectives.

11. Analyze goals for congruency with goals identified as a result of two years need assessment (currently in first phase).

Modify goals if necessary, after completing Step #10.

Summary of the Workshop Evaluation

Reactions to the specific activities at the Helena Workshop were mixed. Although individual state presentations were quite well regarded, sessions dealing primarily with abstract management concepts were not. The majority of the participants had, over the last several years, been exposed to a number of presentations dealing with general management, and the additional "rehash" appeared to be of marginal value.

Readers interested in a much more detailed analysis of the Workshop should write to:

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